

(19)

Europäisches Patentamt

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(11)

**EP 1 245 650 A2**

(12)

## EUROPEAN PATENT APPLICATION

(43) Date of publication:  
02.10.2002 Bulletin 2002/40

(51) Int Cl.7: **C09D 5/02, C09D 7/12,  
C09D 4/06, C09D 11/00,  
C09J 11/06, C11D 1/52**

(21) Application number: **02006784.9**

(22) Date of filing: **25.03.2002**

(84) Designated Contracting States:  
**AT BE CH CY DE DK ES FI FR GB GR IE IT LI LU  
MC NL PT SE TR**  
Designated Extension States:  
**AL LT LV MK RO SI**

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(30) Priority: **29.03.2001 US 820397**

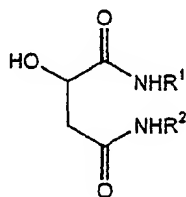
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(54) **Low foam N,N'-dialkylmalamide wetting agents**

(57) This invention provides water-based compositions, particularly coating, ink, fountain solution, adhesive, agricultural and electronics cleaning compositions, manifesting reduced equilibrium surface tension by the incorporation of a surface tension reducing amount of an N,N'-dialkylamide of malic acid of the following structure:

where R<sup>1</sup> and R<sup>2</sup> are C4 to C10 alkyl groups, preferably at least one of R<sup>1</sup> and R<sup>2</sup> being a branched C4 to C10 alkyl group.



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## Description

## FIELD OF THE INVENTION

5 [0001] The invention relates to the use of dialkylmalamides to reduce the surface tension in water-based systems.

## BACKGROUND OF THE INVENTION

10 [0002] The ability to reduce the surface tension of water is of great importance in waterborne coatings, inks, adhesives, fountain solutions and agricultural formulations because decreased surface tension translates to enhanced substrate wetting in actual formulations. Surface tension reduction in water-based systems is generally achieved through the addition of surfactants. Performance attributes resulting from the addition of surfactants include enhanced surface coverage, fewer defects, and more uniform distribution. Equilibrium surface tension performance is important measure of the ability of a surfactant to reduce surface tension in aqueous systems when the system is at rest.

15 [0003] Traditional nonionic surfactants, such as alkylphenol or alcohol ethoxylates and ethylene oxide (EO)/propylene oxide (PO) copolymers, and anionic surfactants, such as sodium dialkyl sulfosuccinates, have good equilibrium surface tension performance. However, many of these surfactants are foamy and this can lead to problems in applications such as coatings, inks, adhesives, fountain solutions, agricultural formulations, electronic chemicals and cleaning formulations, and other applications where foam can lead to surface defects, poor adhesion, and processing difficulties. Additionally, anionic surfactants can impart water sensitivity to the finished coating.

20 [0004] In addition to the development of high-performance surfactants, there is considerable interest in the industry in surfactants with improved environmental characteristics. Environmental concerns have led to an increased use of environmentally compatible surfactants as alternatives have become available. In addition, the use of less favorable products, such as alkylphenol ethoxylate (APE) surfactants, has declined. This is, in part, due to the poor environmental characteristics of APE surfactants, such as incomplete biodegradation and a suspicion that they may function as endocrine mimics. The demand for high-performance, eco-friendly surfactants has stimulated efforts in new surfactant development. From this work a new family of surfactants, referred to as alkyl polyglycoside (APG) surfactants, has emerged as a readily biodegradable, environmentally-friendly alternative to conventional surfactants. These materials can be foamy and thus are not suitable for many coating, ink, adhesive, fountain solution, agricultural, and electronic chemical and cleaning applications where the generation of foam is undesirable.

25 [0005] Thus, not only is it desirable to obtain surfactants which exhibit excellent surface tension reducing capabilities and low foam, but it is also highly desirable that such new surfactants are environmentally-friendly. Moreover, since there is substantial interest in the development of environmentally-friendly surfactants, an essential attribute would be that these new surfactants not only possess the aforementioned desired performance properties but also are derived from naturally occurring compounds or their synthetic equivalents.

30 [0006] The importance of reducing surface tension in applications such as coatings, inks, adhesives, agricultural formulations, and electronic chemical and cleaning is well-appreciated in the art. The ability to lower the surface tension of aqueous media without producing foam is critical when one wants to wet low energy or contaminated substrates. In J. C. Padgett's article entitled "Additives for Water-based Coatings - A Polymer Chemist's View" in *Additives for Water-based Coatings*, D. R. Karsa, ed., Cambridge, UK: Royal Society of Chemistry, 1990, pp. 1-29, the importance of surfactants in lowering the surface tension of aqueous systems in order to achieve wetting on low energy materials such as plastics and oily steel is highlighted.

35 [0007] In the graphic arts, it is well-known that surfactants lower the surface tension of aqueous media and thus aid in printing on lower energy substrates such as plastics, coated papers, coated cardboards, and foils and in wetting pigments to produce dispersions. In *Dispersions: Characterization, Testing, and Measurement*, Marcel Dekker, Inc., 1990, there is an entire chapter devoted to the topic of wettability and the necessity of lowering surface tension in order to achieve displacement of air from around small pigment particles and allow wetting and spreading on the pigment surface. Surfactants are known to act as wetting agents to moisten hydrophobic areas of the printing plate in offset printing (R. Kubler, "Printing Inks," in *Ullmann's Encyclopedia of Industrial Chemistry*, Vol. A22, 1993, pp. 143-156), and certain surfactants have been beneficial in reducing foam generation in the ink fountain in flexographic and roto-gravure printing inks (R. W. Bassemir, *et al.*, "Inks," in *Kirk-Othmer Encyclopedia of Chemical Technology*, 4th Edition, Vol. 14, pp. 482-503).

40 [0008] In addition, the demands of the semiconductor fabrication industry have led to the requirement for high performance surfactants and wetting agents for photoresist developer formulations. As line features shrink to smaller sizes and photoresist substrate materials become more aliphatic in nature (i. e., lower surface energy), aqueous developer solutions increasingly are being formulated with surface tension reducing agents. An additional requirement for these developers, accentuated by the move toward larger wafer sizes, is that they exhibit low foam. This is particularly important when the so-called spray puddle techniques are used in applying the developer solution, wherein the developer

is sprayed over increasingly larger areas. Even in cases where puddle or immersion techniques are used, microbubble entrainment during spreading of the solution over the photoresist surface can lead to defects. Other applications in the electronics industry using aqueous processing media would also benefit from good wetting and low foam.

[0009] Tetramethylammonium hydroxide (TMAH) is the chemical of choice in aqueous alkaline solutions for developing photoresists according to *Microolithography, Science and Technology*, J. R. Sheats and B. W. Smith, editors, Marcel Dekker, Inc., 1998, pp. 551-553. Surfactants are added to the aqueous TMAH solutions to reduce development time and scumming and to improve surface wetting.

[0010] A few examples of amides of malic acid (2-hydroxybutanedioic acid), also called malamides, are known. L-Malic acid occurs naturally as the predominant acid in many fruits, including apples, persimmons, quince and watermelons. It is classified as GRAS (Generally Recognized As Safe) by the U.S. Food and Drug Administration and is commonly used as a food acidulant. L-Malic acid is produced commercially from aqueous fumaric acid using immobilized *Brevibacterium flavum* cells in carrageenan. The racemic form, DL-malic acid, is also known. It is produced by hydration of maleic acid at elevated temperature and pressure.

[0011] In the literature, malic acid amides have been reported. However, the ability of malamides to lower surface tension in aqueous media has never been studied or realized.

[0012] Demer and George, *Proceedings of the Oklahoma Academy of Science*, 1972, 52, pp. 66-69, describe the preparation of several malamides via reaction of the malate esters with primary amines. Malamides based on ethyl, isopropyl, cyclohexyl, hydroxyethyl and benzyl amines were isolated and characterized.

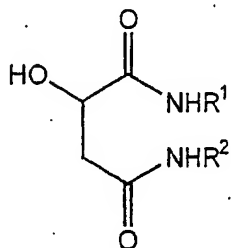
[0013] DE 4424533 A1 broadly discloses oligohydroxy dicarboxylic acid derivatives, including certain malamides derived from fatty alkyl amines, as synthetic barrier lipids in skin care products.

[0014] US 5,359,129, discloses many malic acid derivatives, specifically including the acetate of lauryl malamide, and methods for treatment of psoriasis using such compositions.

[0015] US 5,776,494 discloses the use of alkyl amides of di- and tri-carboxylic acids as gelling agents in non-aqueous pharmaceutical compositions.

## SUMMARY OF THE INVENTION

[0016] This invention provides water-based compositions containing an organic or inorganic compound, particularly aqueous organic coating, ink, adhesive, fountain solution, agricultural and electronics cleaning compositions, having reduced surface tension by incorporation of an effective amount of an N,N'-dialkylamide of malic acid, herein referred to as a malamide, of the following structure:



where R<sup>1</sup> and R<sup>2</sup> are C<sub>4</sub> to C<sub>10</sub> alkyl groups, and preferably at least one of R<sup>1</sup> and R<sup>2</sup> is a branched C<sub>4</sub> to C<sub>10</sub> alkyl group. It is also desirable that an aqueous solution of the malamide demonstrate an equilibrium surface tension of less than 52 dynes/cm at a concentration of no more than 5 wt% in water at 25°C using the Wilhelmy plate method. The Wilhelmy plate method of measuring surface tension is described in L. Wilhelmy's article in *Ann. Phys.* 1863, 119, 177, which is incorporated by reference.

[0017] By "water-based", "aqueous" or "aqueous medium", we mean, for purposes of this invention, a solvent or liquid dispersing medium which comprises at least 90 wt%, preferably at least 95 wt%, water. Obviously, an all water medium is also included.

[0018] Also provided is a method for lowering the equilibrium surface tension of such aqueous compositions by the incorporation of these malamide compounds.

[0019] Also provided is a method for applying a coating of a water-based inorganic or organic compound-containing composition to a surface to partially or fully coat the surface with the water-based composition, the composition containing an effective amount of a malamide compound of the above structure for reducing the equilibrium surface tension of the water-based composition.

[0020] There are significant advantages associated with the use of these malamides in water-based, organic-com-

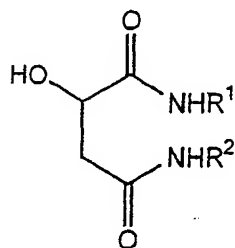
pound containing compositions, such as water-based coatings, inks, adhesives, fountain solutions, agricultural formulations, and electronic chemical and cleaning formulations, including photoresist developer compositions, and these advantages include:

- water-borne coatings, inks, adhesives, fountain solutions, agricultural formulations, and electronic chemical formulations which may be applied to a variety of substrates with excellent wetting of substrate surfaces;
- a reduction in coating or printing defects such as orange peel and flow/leveling deficiencies;
- low surface tension aqueous electronics cleaning and processing solutions, including photoresist developer solutions, which provide good wetting and very low foam;
- low-foam surfactants capable of reducing surface tension;
- water-borne compositions using a surfactant derived from natural, renewable resources, thus making such formulations environmentally favorable.

[0021] Because of their surfactant properties and the ability to control foam, these materials are likely to find applicability in many applications in which the reduction in surface tension and low foam are important. Such applications in which low foam is important include various wet-processing textile operations, such as the dyeing of fibers, fiber scouring, and kier boiling, where low-foaming properties would be particularly advantageous; they may also have applicability in soaps, water-based perfumes, shampoos, detergents, cosmetics and food processing where their marked ability to lower surface tension, and at the same time produce substantially no foam would be highly desirable.

#### DETAILED DESCRIPTION OF THE INVENTION

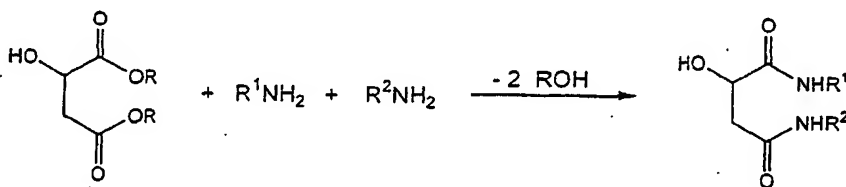
[0022] This invention relates to the use of N,N'-dialkylamide compounds of the structure:



where R<sup>1</sup> and R<sup>2</sup> are C<sub>4</sub>-C<sub>10</sub> alkyl groups, and preferably at least one of R<sup>1</sup> and R<sup>2</sup> is a branched C<sub>4</sub> to C<sub>10</sub> alkyl group, preferably C<sub>5</sub> to C<sub>10</sub>, and most preferably C<sub>5</sub> to C<sub>8</sub>, for the reduction of equilibrium surface tension in water-based compositions containing an organic compound, particularly coating, ink, fountain solution, adhesive, agricultural, and photoresist developer compositions containing organic compounds such as polymeric resins, detergents, herbicides, fungicides, insecticides or plant growth modifying agents. It is also desirable that an aqueous solution of the malamide demonstrate an equilibrium surface tension of less than 52 dynes/cm at a concentration of 5 wt% or less in water at 25°C using the Wilhelmy plate method.

[0023] In one aspect of the invention the malamides of the above formula display excellent ability to reduce equilibrium surface tension while producing little to no foam.

[0024] These materials may be prepared by the reaction of primary amines with malic acid or malic acid esters. The reaction is illustrated below:



[0025] The amination reaction may be performed using a variety of conditions as described in the *Kirk-Othmer En-*

*cyclopedia of Chemical Technology*, 4<sup>th</sup> Ed., Vol. 2, pp. 348-351. The preferred method involves the reaction of a malic acid ester with 2 or more equivalents amine in a protic solvent.

[0026] All primary amines or mixtures of primary amines containing at least one C4 to C10 branched alkyl amine may be utilized for the preparation of the N,N'-dialkyl-malamides of this invention, with amines containing 5-10 carbons being preferred and those containing 5-8 carbons being especially preferred. The N,N'-dialkylmalamides may contain a total of 8-20 amide alkyl carbon atoms, with those containing a total of 10-20 amide alkyl carbons being preferred and those containing a total of 10-16 amide alkyl carbons being especially preferred. Alkyl groups which are suitable should have sufficient carbon to confer surface activity (*i.e.* an ability to reduce the surface tension of water) to the material but not enough carbon to decrease the solubility to the extent that the ability of the material to reduce surface tension is insufficient for a particular application. Generally, in the practice of this invention, it is desirable to choose amide alkyl groups such that the resulting N,N'-dialkylmalamides have a solubility that affords the desired surface tension reduction.

[0027] The alkyl groups in the malamides of this invention may be the same or different and may be linear or branched, as long as at least one of the alkyl groups is a branched alkyl group. Examples of suitable branched alkyl groups are isobutyl, *sec*-butyl, 2-pentyl, 3-pentyl, isopentyl, neopentyl, 2-methylbutyl, 3-methyl-2-butyl, 2-hexyl, 3-hexyl, 2-ethylbutyl, 4-methyl-2-pentyl, 2-ethylhexyl, and so on. Of the malamide derivatives those which contain a total of 10 to 20 amide alkyl carbons are preferred and those containing 10 to 16 alkyl carbons most preferred, especially in the cases where R<sup>1</sup> = R<sup>2</sup> = isopentyl and where R<sup>1</sup> = R<sup>2</sup> = 2-ethylhexyl.

[0028] An amount of dialkylmalamide compound that is effective to reduce the equilibrium surface tension of the water-based, inorganic or organic compound-containing composition is added. Such effective amount may range from 0.001 to 20 wt%, preferably 0.01 to 10 wt%, and most preferably 0.05 to 5 wt%, of the aqueous composition. Naturally, the most effective amount will depend on the particular application and the solubility of the malamide.

[0029] The dialkylmalamides are suitable for use in an aqueous composition comprising in water an inorganic compound which is a mineral ore or a pigment or an organic compound which is a pigment, a polymerizable monomer, such as addition, condensation and vinyl monomers, an oligomeric resin, a polymeric resin, a detergent, a caustic cleaning agent, a herbicide, a fungicide, an insecticide, or a plant growth modifying agent.

[0030] In the following water-based organic coating, ink, adhesive, fountain solution, agricultural and photoresist developer compositions containing a dialkylmalamide according to the invention, the other listed components of such compositions are those materials well known to the workers in the relevant art.

[0031] A typical water-based protective or decorative organic coating composition to which the dialkylmalamide surfactants of the invention may be added would comprise in an aqueous medium 30 to 80 wt% of a coating composition containing the following components:

Water-Based Organic Coating Composition	
0 to 50 wt%	Pigment Dispersant/Grind Resin
0 to 80 wt%	Coloring Pigments/Extender Pigments/Anti-Corrosive Pigments/Other Pigment Types
5 to 99.9 wt%	Water-Borne/Water-Dispersible/Water-Soluble Resins
0 to 30 wt%	Slip Additives/Antimicrobials/Processing Aids/Defoamers
0 to 50 wt%	Coalescing or Other Solvent
0.01 to 10 wt%	Surfactant/Wetting Agent/Flow and Leveling Agents
0.01 to 5 wt%	Dialkylmalamide

[0032] A typical water-based ink composition to which the dialkylmalamide surfactants of the invention may be added would comprise in an aqueous medium 20 to 60 wt% of an ink composition containing the following components:

Water-Based Ink Composition	
1 to 50 wt%	Pigment
0 to 50 wt%	Pigment Dispersant/Grind Resin
0 to 50 wt%	Clay base in appropriate resin solution vehicle
5 to 99.9 wt%	Water-Borne/Water-Dispersible/Water-Soluble Resins
0 to 30 wt%	Coalescing or Other Solvent

(continued)

Water-Based Ink Composition	
0.01 to 10 wt%	Surfactant/Wetting Agent
0.01 to 10 wt%	Processing Aids/Defoamers/Solubilizing Agents
0.01 to 5 wt%	Dialkylmalamide

[0033] A typical water-based agricultural composition to which the dialkylmalamide surfactants of the invention may be added would comprise in an aqueous medium 0.1 to 80 wt% of an agricultural composition containing the following components:

Water-Based Agricultural Composition	
0.1 to 50 wt%	Pesticide, Insecticide, Herbicide or Plant Growth Modifying Agent
0.01 to 10 wt%	Surfactant
0 to 5 wt%	Dyes
0 to 20 wt%	Thickeners/Stabilizers/Co-surfactants/Gel Inhibitors/ Defoamers
0 to 25 wt%	Antifreeze
0.01 to 50 wt%	Dialkylmalamide

[0034] A typical water-based fountain solution composition for planographic printing would comprise the following components:

Water-Based Fountain Solution	
0.05 to 10 wt%	Film formable, water soluble macromolecule
1 to 25 wt%	Alcohol, glycol, or polyol with 2-12 carbon atoms, water soluble or can be made to be water soluble
0.01 to 20 wt%	Water soluble organic acid, inorganic acid, or a salt thereof
30 to 70 wt%	Water
0.01 to 5 wt%	Dialkylmalamide

[0035] A typical water-based adhesive composition to which the dialkylmalamide surfactants of the invention may be added would comprise in an aqueous medium 30 to 65 wt% of an adhesive composition containing the following components:

Water-Based Adhesive	
50 to 99 wt%	Polymeric Resin (SBR, VAE, Acrylic)
0 to 50 wt%	Tackifier
0 to 0.5 wt%	Defoamer
0.5 to 2 wt%	Dialkylmalamide

[0036] A typical water-based photoresist developer or electronic cleaning composition to which the *N,N'*-dialkylmalamide surfactants of the invention may be added would comprise the following components:

Water-based Photoresist Developer	
0.1 to 3 wt%	Tetramethylammonium Hydroxide
0 to 4 wt%	Phenolic Resin
88 to 99 wt%	Water

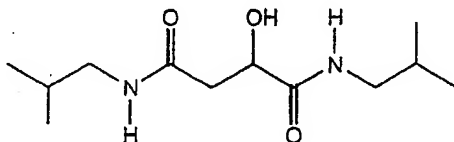
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Water-based Photoresist Developer	
10 to 5000 ppm	Dialkylmalate

[0037] Examples 1-3 illustrate the synthesis of various N,N'-dialkylmalamides of this invention. All N,N'-dialkylmalamides were synthesized and then characterized by Nuclear Magnetic Resonance (NMR) spectroscopy. All malamides prepared ranged from 85% to >99% pure.

## Example 1

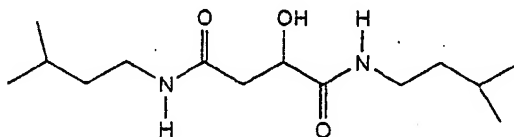
[0038]



[0039] N,N'-Di-*iso*-butyl DL-malamide was prepared by the reaction of *iso*-butylamine with diethyl DL-malate. To a round-bottomed flask were added diethyl DL-malate (5.229 g, 1 eq) and *iso*-butylamine (14.058 g, 7 eq). The clear light yellow solution was stirred for 24 hours at room temperature, after which point a white solid had precipitated from solution. The solid was filtered, washed with hexane (3x25 mL), and dried under vacuum (1.96 g, 29% yield). The product was >99% pure as determined by NMR analyses.

## Example 2

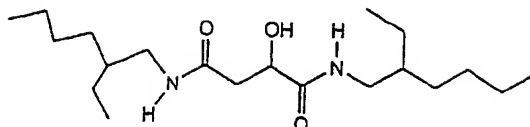
[0040]



[0041] N,N'-Di-*iso*-pentyl DL-malamide was prepared by the reaction of *iso*-pentylamine with diethyl DL-malate. To a round-bottomed flask were added diethyl DL-malate (20.013g, 0.1052 mole, 1 eq) and *iso*-pentylamine (27.778 g, 3.03 eq). The clear light yellow solution was stirred for 20 hours at room temperature prior to the removal of the excess amine under vacuum with heating. A white waxy solid was obtained. The solid was triturated with hexane (4x100 mL), and the product was filtered through a glass frit after each trituration. Finally, the material was transferred to a round-bottomed flask and the white solid was dried under vacuum for one hour while heating (<100°C) to remove any residual amine and hexane (28.99 g, ~100% yield). The product was ~100% pure as determined by NMR analyses.

## Example 3

[0042]



[0043] N,N'-Di-2-ethylhexyl DL-malamide was prepared by the reaction of 2-ethylhexylamine with diethyl DL-malate. To a round-bottomed flask were added diethyl DL-malate (10.009 g, 1 eq), methanol (31 mL), and 2-ethylhexylamine (13.602 g, 2.00 eq). The clear light yellow solution was stirred for 7 days at room temperature and then the methanol and ethanol were removed *in vacuo*. The concentrated reaction mixture was refluxed at 70°C for 8 hours. The remaining ethanol was removed *in vacuo* to yield a clear, amber-colored liquid (8.77 g, 47% yield). The product was ~85-90% pure; half amide/half esters comprised the balance of the product mixture as determined by <sup>1</sup>H and <sup>13</sup>C NMR and GC/MS analyses.

## Examples 4-6

[0044] Saturated solutions of the materials of Examples 1-3 in distilled water were prepared. After shaking the solutions for ~24 hours, the undissolved material was removed *via* filtration. Equilibrium surface tension data were obtained using the Wilhelmy plate method, described in L. Wilhelmy, *Ann. Phys.* **1863**, 119, 177.

[0045] The limiting equilibrium surface tension data are provided in Table 1. The limiting surface tensions represent the lowest surface tensions in water which can be achieved for a given surfactant regardless of the amount of surfactant used and is used to evaluate the effectiveness of a surfactant. Lower surface tensions would allow for the elimination of defects upon application of a formulation onto low energy surfaces.

Table 1

Example	Compound	Limiting EST (dyne/cm)	Concentration of Surfactant in Solution
	Water	72.1	--
4	Di-isobutyl DL-malamide (Ex 1)	51.3	<1.0 wt. %
5	Di-isopentyl DL-malamide (Ex 2)	42.9	<0.4 wt. %
6	Di-2-ethylhexyl DL-malamide (Ex 3)	38.5	<0.1 wt. %

[0046] The data in Table 1 illustrate that various N,N'-dialkylmalamides have the ability to reduce the surface tension of an aqueous composition. Examples 4-6 demonstrate that N,N'-dialkylmalamides containing branched alkyl groups of 4 to 8 carbon atoms each exhibited surface tension values of less than 52 dyne/cm at a concentration of ≤1 wt% in water at 25°C. N,N'-di-isopentyl DL-malamide and N,N'-di-2-ethylhexyl DL-malamide are particularly effective at lowering the equilibrium surface tension of water. Therefore, the N,N'-dialkylmalamides of this invention which contain branched alkyl groups with 5-8 carbon atoms are the most preferred for the reduction of surface tension in water-based, organic compound containing compositions, including waterborne coatings, inks, adhesives, fountain solutions, agricultural formulations, and electronic chemical formulations. However, ultimately the choice of N,N'-dialkylmalamide will depend upon the application.

## Examples 7-8

[0047] The foaming properties of aqueous solutions of N,N'-di-*iso*-pentyl DL-malamide (Ex 2) and N,N'-di-2-ethylhexyl DL-malamide (Ex 3), were examined using a procedure based upon ASTM D 1173-53. In this test, a 0.1 wt% aqueous mixture of the surfactant was prepared, any undissolved solids were filtered off, and the filtrate was added from an elevated glass pipette to a glass receiver containing the same filtrate. The foam height was measured at the



completion of the addition ("Initial Foam Height") and the time required for the foam to dissipate at the air-liquid interface ("Time to 0 Foam") was recorded. This test provides a comparison between the foaming characteristics of various surfactants. In general, in coatings, inks, adhesives, fountain solution, agricultural, and electronic chemical formulations, foam is undesirable because it complicates handling and can lead to coating and print defects, and to inefficient application of agricultural materials or electronic chemicals.

#### Comparative Examples 9-10

[0048] The foaming properties of 0.1 wt% solutions of two representative nonionic surfactants, a commercial nonylphenol 15 mole ethoxylate surfactant and a commercial C8 alkyl glucoside surfactant were examined using the procedure based upon ASTM D 1173-53.

[0049] The results for the *N,N'*-dialkylmalamides of Examples 2 and 3 are reported in Table 2. A drawback to the use of many conventional surfactants in coatings, inks, adhesives, fountain solutions, agricultural formulations, and electronic chemical formulations is the formation of considerable quantities of long-lasting foam in these systems. For such applications, it is desired that a surfactant form as little foam as possible and that any foam which forms dissipates quickly. The data in Table 2 show that the compounds of this invention formed very little initial foam and that the foam which formed dissipated very quickly. In addition to their ability to reduce the surface tension of organic-containing aqueous systems, *N,N'*-dialkylmalamide surfactants have desirable foam properties with respect to their use in coatings, inks, adhesives, fountain solutions, agricultural formulations, and electronic chemical formulations.

Table 2

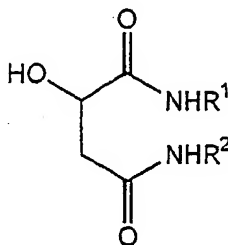
Ex	Surfactant	Initial Foam (cm)	Foam after 5 min (cm)	Time to zero foam
7	Di-isopentyl DL-malamide (Ex 2)	1.4 cm	0	35 sec
8	Di-2-ethylhexyl DL-malamide (Ex 3)	1.5 cm	0	~2 sec
9	Nonylphenol 15 mole ethoxylate	5 cm	4 cm	>5 min
10	C8 Alkyl glucoside	1.9 cm	1.0 cm	37 min

#### STATEMENT OF INDUSTRIAL APPLICATION

[0050] The invention provides compositions suitable for reducing the equilibrium surface tension in water-based coating, ink, adhesive, fountain solution, agricultural, electronic cleaning and photoresist developer compositions.

#### Claims

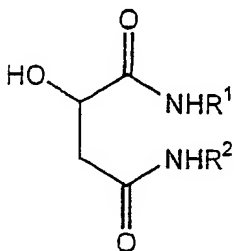
1. In a method for applying a coating of a water-based composition to a surface to partially or fully coat the surface, the composition containing an inorganic or organic compound and an effective amount of a surfactant for reducing the equilibrium surface tension of the composition, the improvement which comprises employing as the surfactant an *N,N'*-dialkylamide of malic acid of the following structure:



where  $R^1$  and  $R^2$  are C4 to C10 alkyl groups.

2. The method of Claim 1 in which at least one of  $R^1$  and  $R^2$  is a branched C4 to C10 alkyl group.

3. The method of Claim 1 in which the water-based composition is selected from the group consisting of aqueous organic coating, ink, adhesive, fountain solution, agricultural and electronics cleaning compositions and the dialkylmalamide is present at 0.001 to 20 wt% of the water-based composition.
- 5 4. The method of Claim 3 in which an aqueous solution of the dialkylmalamide demonstrates an equilibrium surface tension of less than 52 dynes/cm at a concentration of no more than 5 wt% in water at 25°C according to the Wilhelmy plate method.
- 10 5. The method of Claim 1 in which R<sup>1</sup> and R<sup>2</sup> are the same.
6. The method of Claim 5 in which R<sup>1</sup> and R<sup>2</sup> are a branched C4 alkyl group.
7. The method of Claim 5 in which R<sup>1</sup> and R<sup>2</sup> are a branched C5 alkyl group.
- 15 8. The method of Claim 5 in which R<sup>1</sup> and R<sup>2</sup> are a branched C8 alkyl group.
9. The method of Claim 5 in which the alkyl groups are isobutyl.
10. The method of Claim 5 in which the alkyl groups are isopentyl.
- 20 11. The method of Claim 5 in which the alkyl groups are 2-ethylhexyl.
12. An aqueous composition comprising in water an inorganic compound which is a mineral ore or a pigment or an organic compound which is a pigment, a polymerizable monomer, an oligomeric resin, a polymeric resin, a detergent, a herbicide, an insecticide, a fungicide, or a plant growth modifying agent and an effective amount of an N, N'-dialkylmalamide of malic acid of the following structure for reducing the surface tension of the composition:



40 where R<sup>1</sup> and R<sup>2</sup> are C4 to C10 alkyl groups with at least one of R<sup>1</sup> and R<sup>2</sup> being a branched C4 to C10 alkyl group.

13. The aqueous composition of Claim 12 in which an aqueous solution of the dialkylmalamide demonstrates an equilibrium surface tension of less than 52 dynes/cm at a concentration of ≤5 wt% in water at 25°C according to the Wilhelmy plate method and the dialkylmalamide is present at 0.01 to 10 wt% of the aqueous composition.
- 45 14. The aqueous composition of Claim 12 in which R<sup>1</sup> and R<sup>2</sup> are branched C4 alkyl groups.
15. The aqueous composition of Claim 12 in which R<sup>1</sup> and R<sup>2</sup> are branched C5 alkyl groups.
- 50 16. The aqueous composition of Claim 12 in which R<sup>1</sup> and R<sup>2</sup> are branched C8 alkyl groups.
17. The aqueous composition of Claim 12 in which both R<sup>1</sup> and R<sup>2</sup> are C5-C10 branched alkyl groups.
18. The aqueous composition of Claim 14 in which the alkyl groups are isobutyl.
- 55 19. The aqueous composition of Claim 15 in which the alkyl groups are isopentyl.
20. The aqueous composition of Claim 16 in which the alkyl groups are 2-ethylhexyl.

21. The composition of Claim 12 which is an aqueous organic coating composition comprising in an aqueous medium 30 to 80 wt% of a coating composition which comprises the following components

0 to 50 wt% pigment dispersant, grind resin or mixtures thereof;

0 to 80 wt% coloring pigment, extender pigment, anti-corrosive pigment, other pigment types or mixtures thereof;

5 to 99.9 wt% water-borne, water-dispersible or water-soluble resin or mixtures thereof;

0 to 30 wt% slip additive, antimicrobial agent, processing aid, defoamer or mixtures thereof;

0 to 50 wt% coalescing or other solvent;

0.01 to 10 wt% surfactant, wetting agent, flow and leveling agents or mixtures thereof; and

0.01 to 20 wt% dialkylmalamide.

22. The composition of Claim 12 which is an aqueous ink composition comprising in an aqueous medium 20 to 60 wt% of an ink composition which comprises the following components

1 to 50 wt% pigment;

0 to 50 wt% pigment dispersant, grind resin or mixtures thereof;

0 to 50 wt% clay base in a resin solution vehicle;

5 to 99 wt% water-borne, water-dispersible or water-soluble resin or mixtures thereof;

0 to 30 wt% coalescing or other solvent;

0.01 to 10 wt% processing aid, defoamer, solubilizing agent or mixtures thereof;

0.01 to 10 wt% surfactant, wetting agent or mixtures thereof; and

0.01 to 20 wt% dialkylmalamide.

23. The composition of Claim 12 which is an aqueous agricultural composition comprising in an aqueous medium 0.01 to 80 wt% of an agricultural composition which comprises the following components

0.1 to 50 wt% a herbicide, insecticide, plant growth modifying agent or mixtures thereof;

0.01 to 10 wt% surfactant;

0 to 5 wt% dye;

0 to 20 wt% thickener, stabilizer, co-surfactant, gel inhibitor, defoaming agent or mixtures thereof;

0 to 25 wt% antifreeze; and

0.01 to 50 wt% dialkylmalamide.

24. The composition of Claim 12 which is an aqueous fountain solution composition comprising the following components

0.05 to 10 wt% film formable, water soluble macromolecule;

1 to 25 wt% alcohol, glycol, or polyol with 2-12 carbon atoms which is water soluble or can be made water

soluble;

0.01 to 20 wt% water soluble organic acid, inorganic acid, or a salt thereof;

30 to 70 wt% water; and

0.01 to 5 wt% dialkylmalamide.

25. The composition of Claim 12 which is an aqueous adhesive composition comprising in an aqueous medium 30 to 65 wt% of an adhesive composition which comprises the following components

50 to 99 wt% polymeric resin;

0 to 50 wt% tackifier;

0 to 0.5 wt% defoamer; and

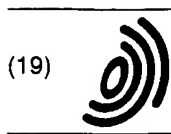
0.5 to 2 wt% dialkylmalamide.

26. The composition of Claim 12 which is an aqueous electronics cleaning composition comprising in an aqueous medium the following components

0.1 to 3 wt% tetramethylammonium hydroxide;

0 to 4 wt% phenolic compound; and

10 to 10,000 ppm dialkylmalamide.



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European Patent Office  
Office européen des brevets



(11) **EP 1 245 650 A3**

(12) **EUROPEAN PATENT APPLICATION**

(88) Date of publication A3:  
05.11.2003 Bulletin 2003/45

(43) Date of publication A2:  
02.10.2002 Bulletin 2002/40

(21) Application number: 02006784.9

(22) Date of filing: 25.03.2002

(51) Int Cl.7: **C09D 5/02**, C09D 7/12,  
C09D 4/06, C09D 11/00,  
C09J 11/06, C11D 1/52,  
A01N 25/30, C11D 3/32,  
G03F 7/32

(84) Designated Contracting States:  
**AT BE CH CY DE DK ES FI FR GB GR IE IT LI LU  
MC NL PT SE TR**  
Designated Extension States:  
**AL LT LV MK RO SI**

(30) Priority: 29.03.2001 US 820397

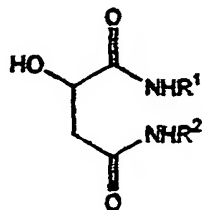
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(54) **Low foam N,N'-dialkylmalamide wetting agents**

(57) This invention provides water-based compositions, particularly coating, ink, fountain solution, adhesive, agricultural and electronics cleaning compositions, manifesting reduced equilibrium surface tension by the incorporation of a surface tension reducing amount of an N,N'-dialkylamide of malic acid of the following structure:



where R<sup>1</sup> and R<sup>2</sup> are C4 to C10 alkyl groups, preferably at least one of R<sup>1</sup> and R<sup>2</sup> being a branched C4 to C10 alkyl group.

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European Patent  
Office

# EUROPEAN SEARCH REPORT

Application Number  
EP 02 00 6784

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Category	Citation of document with indication, where appropriate, of relevant passages	Relevant to claim	CLASSIFICATION OF THE APPLICATION (Int.Cl.7)
A	PATENT ABSTRACTS OF JAPAN vol. 2000, no. 05, 14 September 2000 (2000-09-14) & JP 2000 034263 A (LION CORP), 2 February 2000 (2000-02-02) * abstract *	12	C09D5/02 C09D7/12 C09D4/06 C09D11/00 C09J11/06 C11D1/52 A01N25/30 C11D3/32 G03F7/32
P,A	US 6 281 170 B1 (MARSELLA JOHN ANTHONY ET AL) 28 August 2001 (2001-08-28) * whole document *	1-26	
			TECHNICAL FIELDS SEARCHED (Int.Cl.7)
			C09D C09J A01N C11D C07D G03F
The present search report has been drawn up for all claims			
Place of search THE HAGUE		Date of completion of the search 17 September 2003	Examiner Girard, Y
CATEGORY OF CITED DOCUMENTS		T : theory or principle underlying the invention E : earlier patent document, but published on, or after the filing date D : document cited in the application L : document cited for other reasons & : member of the same patent family, corresponding document	
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EPO FORM 1503 03/02 (P04C01)

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17-09-2003

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EPO FORM P0459

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